

INSTRUCTIONS

INITIAL REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST/EMPLOYER AND REAL PARTY IN INTEREST

Please complete all sections and all items of the *Initial Registration Statement*. **Do not leave blanks**

A. Executive Agency Lobbyist Information

Provide information requested as it relates to the executive agency lobbyist.

Item 10. Date of Engagement: The date the executive agency lobbyist entered into an agreement for compensation to conduct executive agency lobbying activity on behalf of the employer or real party in interest. Executive agency lobbyists may be employees of the employer/real party or contract lobbyists. "Employees" would not necessarily put the starting date of employment, but the date the employee was assigned the task to conduct executive agency lobbying on behalf of the employer/real party.

B. Employer Information

Provide information requested as it relates to the employer.

Item 4. Employer Contact: The designated "Employer Contact" serves as the liaison between the Commission staff and the employer as it relates to all matters of compliance and reporting. This individual will be responsible for the completion of the *Updated Registration Statement, Employer of Executive Agency Lobbyist* and payment of the \$500¹ registration fee both **due July 31** of each year.

C. Real Party In Interest

The "real party in interest" is the person or organization on whose behalf the executive agency lobbyist is acting, if that person is not the employer. For example, if the ABC Corporation engages XYZ Government Relations Firm which, in turn, hires John Smith to influence decisions or conduct executive agency lobbying on behalf of ABC Corporation: (a) John Smith is the executive agency lobbyist; (b) XYZ Government Relations Firm is the employer; and (c) ABC Corporation is the "real party in interest."

Remember that it makes no difference how many parties come between the EAL and the real party in interest. The requirement is that the statement specifically identifies the real party in interest, if different from the employer.

¹ House Bill 80, as passed by the 2016 General Assembly and signed by Governor Matt Bevin on April 27, 2016, raised the Executive Agency Lobbyist registration fee provided in KRS 11A.211 from \$125 to \$500 beginning July 1, 2016, through June 30, 2018.

Item 4: The designated “Real Party in Interest Contact” serves as the liaison between the Commission staff and the real party in interest as it relates to all matters of compliance and reporting. This individual will be responsible for the completion of the *Updated Registration Statement, Real Party in Interest* and payment of the \$500 registration fee both **due July 31** of each year

D. Brief Description Of The Executive Agency Decision To Which Engagement Relates

The description should state the subject matter areas for which the executive agency lobbyist has been engaged. Examples: award of a lease for office space; award of a contract to provide equipment; marketing products or services to a state agency; award of a personal service contract; attempts to increase/decrease state funding through the budget process; investment/financial services for state retirement accounts or banking services; award of grants for social services.

E. Listing of Executive Agencies To Be Lobbied

Please check the state agency(ies) to which the engagement of the executive agency lobbyist relates meaning those agencies most likely be contacted while conducting executive agency lobbying activity. This listing is subject to change due to reorganization by the governor or laws enacted by the legislature. Add additional agencies not listed in the space provided.

Note: Executive agency officials may require certification from any person seeking the award of a contract, grant, lease, or financial arrangement that the person and his employer are in compliance with KRS 11A.211. The EAL registration card, supplied by the Executive Branch Ethics Commission, will serve as certification.

Certification and Signature:

The *Initial Registration Statement* **must be signed** and certified by both the executive agency lobbyist and the employer designee as to the completeness and accuracy of the Initial Registration Statement. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

Do not submit registration fees when filing the *Initial Registration Statement*. The registration fee is paid when the employer/real party in interest files the Updated Registration Statement due July 31 of each year.